



Attorney's Docket No.: 13390-002001

2175  
#5  
sp  
10-31-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William Earl Vernon

Serial No. : 10/028,055

Filed : December 21, 2001

Title : CLOSED LOOP ASSET MANAGEMENT PROCESS

Art Unit : ~~Unknown~~ 2175

Examiner : ~~Unknown~~ Abdel-Jahil, Nerveen

RECEIVED

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

OCT 28 2003

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Applicant submits the references listed on the attached form PTO-1449. A copy of a communication from a foreign patent office in a counterpart application is also enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

Oct 22, 2003

Denis G. Maloney  
Reg. No. 29,670

Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110-2804  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

20737624.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit

October 22, 2003

Signature

Marie Collins

Typed or Printed Name of Person Signing Certificate

Marie Collins